

THE UNITED STATES DEPARTMENT OF ENERGY

THE LABORATORY INSTITUTIONAL PLANNING PROCESS

2003 CYCLE INSTRUCTIONS FOR THE FY 2004 - 2008 INSTITUTIONAL PLANS

**May 2003
Office of Laboratory Policy, SC-7**

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INTRODUCTION TO INSTITUTIONAL PLANNING

PREFACE

These instructions for the 2003 Institutional Planning cycle describe the elements of the Institutional Planning Process. The instructions also define any specific requirements for the development of the Laboratory FY 2004 - FY 2008 Institutional Plans and related information.

Each year the Institutional Planning Working Group [consisting of senior planning officers from the laboratories, representatives from the responsible Operations Offices and/or Site Offices, and institutional planning contacts for the Cognizant Secretarial Officers (CSOs)] meets to review the experience of the prior year's institutional planning cycle and to recommend improvements in the Process and its documentation. These instructions reflect the recommendations of the 2003 Institutional Planning Working Group.

The following are changes to the instructions from the 2002 cycle:

- **Office of Science laboratories should include their compelling vision in the section describing their science and technology strategic plan. The compelling vision is a concise statement of what the Laboratory hope to achieve within the next five years involving science leadership and value to DOE and the nation.**
- **Laboratories need to create a separate section in the Institutional Plan titled “Department of Homeland Security (DHS) Direct Funded Work”. Due to security concerns, laboratories can use their own discretion in describing initiatives and direct funded work from DHS. Resource projection tables, starting with FY2004, will need to separately and distinctly identify DHS direct funded work and should not be included in the Work for Others (WFO) section(s).**
- **For CY 2003 the On-Site Reviews at the Office of Science laboratories will be focused on the long range scientific plan for the laboratory. At the On-Site the laboratories should present a comprehensive and coherent picture of where they are hoping to go in the next 15 years, and what it will take for them to achieve success.**

Requirements for supplemental information should be sent along with the Draft Institutional Plan and are contained in the 2003 Institutional Planning Cycle Supplemental Information to the FY 2004 – 2008 Laboratory Institutional Plans, April 2003.

The instructions are organized into three sections. This first section describes the elements and purpose of the Institutional Planning Process. The second defines the specific content and format requirements for the draft and final Institutional Plans. The last establishes specific requirements for the Laboratory On-Site Reviews. Also included is an Appendix that outlines organizational roles in institutional planning and provides examples of table and chart formats.

THE INSTITUTIONAL PLANNING PROCESS

The Institutional Planning Process is a Departmental oversight mechanism for the Laboratories. It establishes the Laboratory baseline plan for the future and guides the development of other Laboratory plans. The Plans include an overview of the Laboratory as an institution, including mission, strategic plan, issues, scientific initiatives and operations. The Plans also include resource tables for the laboratory for the implementation year (FY 2003), the budget year (FY 2004), the planning year (FY 2005), and beyond (through FY 2008).¹

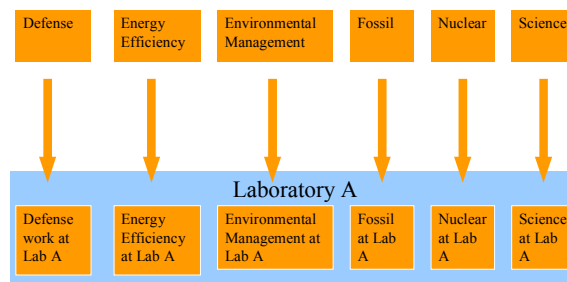
Purpose of Institutional Planning

Unlike most planning and budgeting systems of the Department, Institutional Planning is laboratory-centered rather than program-centered. The Institutional Planning Process provides a means for the Department to focus on each Laboratory as an institution (rather than simply a collection of programs) and to review its mission, its health and vitality as an institution, and its plans for the future. The Department's approval of a Laboratory's Institutional Plan indicates that the Laboratory's mission, vision and strategic plan are generally well aligned with Departmental needs and plans.

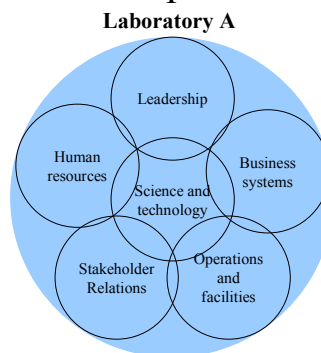
Institutional Planning broadly focuses on the laboratory as an Institution; and, as such, that affect the whole organization's health and future prospects. In doing so the process considers the scientific and technical mission, capabilities and competencies, but also the management, human capital and infrastructure of a laboratory.

The annual Institutional Planning Process provides a forum for DOE and the Laboratory contractor and management to address plans, issues and programmatic initiatives in the context of the Laboratory as an institution.

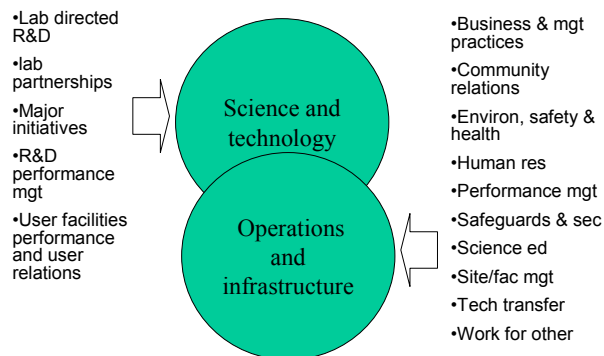
Typical Program Planning and Budgeting Perspective



Institutional point of view



Integrated Planning



¹ Data for FY 2003 are mid-year estimates. Resource projections are for planning purposes only and do not directly correlate with Department of Energy outyear budget plans.

The Planning Process

The Institutional Planning Process is on an annual cycle but should be viewed as a continuous process. The major steps in the annual cycle, summarized below, are shown with the time frame for a typical year's institutional planning.

Table 1

Typical Institutional Planning Schedule	
January	Secretary issues policy guidance (as needed) and DOE Strategic Plan update begins.
Jan-Mar	Institutional Planning Working Group Meeting Director, Office of Science issues Process instructions
May 1-30	Laboratories submit Draft Plan to Headquarters and Operations Offices
June	Operations Office/Site Office Managers and Program Secretarial Officers submit comments on Draft Plan to the Cognizant Secretarial Officers
June-Oct	Laboratory On-Site Reviews
June-Oct	Cognizant Secretarial Officers report on the On-Site Reviews.
July	Cognizant Secretarial Officers participate in corporate review of the budget, and when applicable introduce institutional considerations
Nov-Dec	Laboratories submit Final Institutional Plans to Headquarters.

Issuing the Planning Instructions

The Director, Office of Laboratory Policy (SC-7), chairs the Institutional Planning Working Group. The Working Group reviews the experience of the prior year's institutional planning cycle and recommends improvements in the Process and its documentation. Following the Working Group meeting, instructions are prepared and issued by the Director, Office of Laboratory Policy, Office of Science. Each CSO carries out the Process within the framework established by these instructions.

Preparing and Reviewing the Draft Plans

Laboratories propose the nature and level of their future activities in the Draft Institutional Plan. Laboratory management presents their best estimate of future R&D activities based on policy issued by the Secretary, guidance from the Director of the Office of Science and the other CSOs, information from the DOE Strategic Management System, and input from Program Secretarial Offices (PSOs). In the Draft Institutional Plan each laboratory presents its goals, objectives, strategies, and tactical activities that are aligned with the Department's Strategic Plan.

The Draft Plan identifies priority issues and initiatives to be discussed with the CSO at the On-Site Review. The Draft Plan also communicates the Laboratory's strategic plan including performance objectives for science and technology and for management and operations functions, significant new thrusts or changes in programs or technical areas, and initial projections of program funding. The Draft Plans are transmitted electronically via the Internet to the CSO, other Headquarters Organizations, and the Operations Offices/Site Offices. The Laboratory asks all appropriate DOE offices to review and comment on the Plan. CSOs and PSOs review the Draft Plans to determine if they are consistent with the Department's strategic management system and program planning. Comments on the Plan by Headquarters and the Operations Offices/Site Offices are consolidated by the CSO and provided to the Laboratory before the On-Site Review.

On-Site Reviews

An Institutional Planning On-Site Review is held at the Laboratory following the Headquarters review of the Draft Plans and, when possible, before the decision phase of the corporate review of the Department's budget. The On-Site Review is conducted by the CSO with the participation of PSOs and program managers that have major program activities at the Laboratory, the Operations Office Manager/Site Office Manager, the Operating Contractor, and the Laboratory Director.

The structure of an On-Site Review consists of: a DOE Caucus with the Operations Office/Site Office attended only by DOE personnel; the Laboratory Review, attended by Headquarters, Operations Office/Site Office, and Laboratory personnel; and, when necessary, an Executive Session attended by the senior manager present from each organization. The Laboratory presents its strategic view and issues and initiatives important to the Laboratory in an established context. Guidance from Headquarters is provided to the Laboratory during the review. The Executive Session provides an opportunity to discuss sensitive issues such as human capital and Laboratory performance toward implementing appraisal recommendations and contractual issues.

Report on On-Site Review

The CSO sends a letter to the Laboratory summarizing guidance and action items resulting from the On-Site Review. This letter contains preliminary approval of the Draft Plan as the Final Plan conditional on responses to substantive comments provided by DOE/HQ and the Operations Office/Site Office. Approval for planning purposes indicates that the Plan presents Laboratory activities desired by the Department; that mission assignments are appropriate for the Laboratory; and that the Laboratory's plan for its future is appropriate. For the laboratories that report to the Office of Science, the letter will also convey whether the level of Work for Others is approved for FY 2003. This letter from the CSO through the Operations Office/Site Office manager to the Laboratory Director communicates approval of the Institutional Plan.

Input to the Budget Process (when applicable)

Results of each On-Site review are considered during the review of the corporate budget and the performance plan and provided to the Secretary as appropriate. The information gathered from the Draft Plan and the On-Site Reviews assists Secretarial Officers in the Department's internal budget process. The presentation of initiatives and issues with their associated resources in the Draft Plan provides a basis for analysis and resolution of major decisions that may affect the Department's budget and performance plan. The On-Site Reviews and the final plans can provide information to Secretarial Officers that may be used in decision making before the issuance of final decisions and the Secretary's 5-year Budget and Performance Plan Guidance.

Preparing, Reviewing and Approving the Institutional Plan

Using the Draft Plan as a baseline, the Laboratory integrates guidance from the On-Site Review and the latest program guidance to develop the Final Institutional Plan. The Final Plan is due usually three months after the On-Site Review. The Operations Office/Site Office has responsibility to see that the Final Plan addresses comments received (see Table 9 on page 23) from the CSO, PSOs and program managers.

Input to the Strategic Planning Process

After having its Institutional Plan approved, the Laboratory sends copies of its Final Plan to the PSOs. This input may be used in the development of Assistant Secretary level strategic plans and Multi-Year Program Plans.

CONTENT OF THE INSTITUTIONAL PLAN

The format below is suggested to the Laboratories for the development of their FY 2004 - FY 2008 Institutional Plans. The Laboratories may vary from the suggested format if the resulting Plan (1) includes, in one form or another, the principal elements described in this section; (2) represents the Laboratory's best judgment as to how to present the Laboratory's strategic plan and the integration of all other planning; and (3) is consistent with guidance from the CSO.

For some laboratories past Institutional Plans were the most comprehensive single-document descriptions of the laboratory published, and the new format may not satisfy needs of some customers. If the Laboratory determines that important customer needs won't be met with the shorter format, it may include additional information to its Institutional Plan as necessary.

The Institutional Plan of the laboratory must be consistent and supportive of the goals, objectives and strategies of the FY2003 DOE Strategic Plan, when it becomes available. It should also reflect the OMB investment criteria.

Additionally, the Institutional Plan should be guided by the other DOE strategic management and planning documents. These include the vision, goals, objectives and commitments described in the Department's Annual Performance Plan for FY 2004, and in the plans and strategic documents of DOE program offices. Links to DOE planning documents and objectives should be made throughout the relevant sections of the Institutional Plan.

Existing Laboratory plans, documents, and information and data sources should be referenced throughout the Institutional Plan, wherever applicable, in sufficient detail to allow the reader to obtain the information.

Although a Laboratory may use its judgment about the document's organization and the amount of detail provided, all applicable tables and charts must be included. Data tables and charts are indicated below by bold print and their formats are defined in the Format Appendix.

Supplemental Information to the FY 2004 – 2008 Laboratory Institutional Plans² constitutes a separate set of data that was previously included in the Institutional Plans and is not now reported elsewhere. Ultimately separate "data channels" will be established for submission of these data to DOE. However, until that time the information specified in the Supplemental Information instructions must be included in the Institutional Plans of the SC laboratories.

The Institutional Plan is submitted to Headquarters in two versions during the annual planning cycle, first as a Draft Plan and then as the Final Institutional Plan. The Draft Plan is not made available to the public but is for internal review and comment only. It should be marked "Draft Material - For Internal Agency Use Only." The following statement, should be included at the beginning of the document: "This document does not contain final Agency decisions or opinions and is not releasable under the Freedom of Information Act."

Draft Plans should be made available to DOE Headquarters in an electronic format. The laboratory may choose to either (1) place the Draft Plan on its own web server or (2) transmit it electronically in PDF format to HQ for inclusion on a special web site where Headquarters personnel may review Draft plans.

Laboratories have the option of using the World Wide Web as the vehicle for displaying their final FY 2004 - FY 2008 Institutional Plans taking into account their particular security concerns.

I. The Laboratory Director's Statement

This provides the Laboratory Director's preface to the Plan.

II. Laboratory Mission and Roles

A discussion of the mission, roles and core competencies of the Laboratory should be part of this section. The Laboratory should focus its mission, roles and competencies and distinctively describe

² FY 2003 Institutional Planning Cycle – Supplemental Information to the FY 2004 – 2008 Laboratory Institutional Plans, Office of Laboratory Policy, SC-7 (April 2003)

them to differentiate them from those of other DOE Laboratories.

Mission: The mission statement describes the purpose the Laboratory serves in carrying out the Department's mission. The Laboratory mission should be defined concisely and be consistent with the roles assigned to the Laboratory.

The adequacy of a mission statement can be determined by asking the following questions:

- Does it tell what our job is and what needs we are trying to fill, for whom and how?
- Does it define the Laboratory's primary focus or strategic thrust?
- Does it reflect core competencies and distinctive competence?
- Is it clear whom we regard as the Laboratory's main customers (DOE or others)?

Roles: Briefly discuss the roles in mission areas described in "Table 1. Applied Mission Roles of DOE's Multiprogram Laboratories," of the Strategic Laboratory Missions Plan - Phase I.³

Briefly discuss the role of the laboratory as it applies to how the DOE laboratories are operating as a system. Discussion of notable interlaboratory cooperation and laboratory system integration at relevant points in the Institutional Plan is very valuable. A reference should be included where the reader will find examples or further discussion of laboratories collaborating on projects.

Core Competencies: For the purposes of institutional planning, a core competency is a distinguishing integration of capabilities that enable an organization to deliver mission results and products to its customers.⁴ The Laboratory should indicate its specific competency in a few major technologies or technical areas.

³ Laboratory Operations Board, US Department of Energy, Strategic Laboratory Mission Plan – Phase I, July 1996, Vol. I, p. 22.

⁴ Missions of Laboratories Priority Team, US Department of Energy, Changes and Challenges at Department of Energy Laboratories, 1993, p. 15.

III. Laboratory Scientific and Technical Vision and Strategic Plan

The vision and strategic plan describe the Laboratory's science and technology plan for the next 20 years. It describes the Laboratory's vision, planned future development, and areas of major science and technology thrust. Included in the strategic plan are the objectives or strategies that the laboratory is committed to achieving and upon which the laboratory's performance should be measured.

Laboratories are free to present their vision and strategic plan in the order and format that they think best. The following are suggested elements of a strategic plan:

- Situational analysis
- Vision and strategic goals
- Strategic objectives
- Strategic issues
- Strategies

This section can cover research programs in DOE's four mission areas: 1) national security; 2) environmental quality; 3) science and technology; and 4) energy resources. In addition, the laboratory should describe how it intends to develop specific deliverables in programmatic research. Any guidelines being developed by HQ/DOE for the Department's Strategic Plan should be reflected in the laboratory's Strategic Plan. Laboratories can discuss (1) R&D investment criteria as indicated in the President's Management Agenda, (2) selected metrics of quality, relevance and leadership in programs and (3) operation of scientific user facilities for the use and benefit of the entire research community. The laboratory's science vision and strategic plan should be consistent with the Department's Strategic Plan and the strategic plans of the DOE secretarial offices for which the Laboratory does work. The laboratory's plan should also be fully consistent with the performance measures and goals described in the Annual Performance Plan for FY 2004.⁵ The relationship of the Laboratory's mission with the DOE missions should be presented and reinforced. As part of its Strategic Objectives or Strategies, the Laboratory can include references or discussions of Infrastructure; Work for Others; Science Education; Laboratory Directed Research and Development; and Technology Transfer.

⁵ Annual Performance Plan for FY 2004, DOE.CR-0068-9

Office of Science laboratories should include in this section their compelling vision as required in item 5. Vision: from the Under Secretary's Memorandum of April 30, 2003, "Principles of Office of Science Laboratory Contracts."* The compelling vision is a brief forceful statement of the ends to which the laboratory will strive and what the laboratory hopes to achieve in the next five years. Characteristics of the compelling are

- Science leadership
- Stretch the limits of capability and
- Value to DOE and the nation

The compelling vision should be written so that it provides a galvanizing force for employees and a statement of value for stakeholders. It should help focus the laboratory on core competencies. The laboratory vision is supported by tangible and verifiable stretch goals of accomplishment for the future. Although the compelling vision is long range in nature it is a baseline that should be adjusted for equivalent discoveries and tied to schedules and resources.

In this section the laboratory maps its goals, objectives, and strategies to the Departmental plans listed above. Laboratory objectives should be written so as to suggest ways of measuring their achievement and progress.

This section should include -- either listed separately or incorporated within the presentation of vision, goals or objectives -- laboratory director-level objectives stated as specific outcomes or milestones that are the most critical to the laboratory for the next one to five years. The goals, objectives and strategies of the laboratory should be consistent with its integrated performance management system. Critical objectives identified in the Institutional Plan may be different from, but not inconsistent with, those objectives or expectations developed as part of the performance-based management contract administered by the Operations Office/Site Office.

The situational analysis should describe briefly the status of laboratory programs in relation to the laboratory's mission or DOE programmatic goals. This section should introduce the reader to major programs at the Laboratory and provide references to additional information (e.g., program plans available from the Laboratory).

The Laboratory should use the Strategic Issues discussion to identify major managerial, operational or programmatic issues the Laboratory wishes to have considered by DOE senior management.

IV. Summary of Major Program Initiatives

Initiatives of major importance to the Laboratory should be identified here. Program offices from which resources are being sought for the initiative should be identified by B&R code. Resources required to implement the initiative should be shown for the baseline institutional planning period, i.e., FY 2004 through FY 2008 as a minimum. Resources also should be displayed for the historical year FY 2002 and estimate of the present year FY 2003. If the Laboratory wishes, it may extend the funding requirement table beyond the baseline period to make clear the phasing and amount of these requirements. Besides describing R&D and construction planning, the Laboratory should cover as well the general "plan of action" for National Environmental Protection Act (NEPA) activities related to the initiative.

Note: The projected funding for particular initiatives may be included or excluded from the Resource Projection. However, in general it is undesirable to include so many Laboratory initiatives in the resource tables that projections of Laboratory funding for FY2004 and beyond are unrealistically high. It is preferable to choose a fallback position that provides a better overall baseline for planning the desired future of the Laboratory. In any case it should be made clear where the Resource Projections do, or do not, include the funding for particular initiatives.

The introduction to the Summary of Major Initiatives should contain the following statement, verbatim or paraphrased by the Laboratory: "Initiatives are provided for consideration by the Department of Energy. Inclusion in this plan does not imply Department approval of or intent to implement an initiative."

V. Operations and Infrastructure Strategic Plan

This section describes the strategic plans and long range plans of the laboratory for its management-and-operations and site-and-facilities functions. Operations functions, are defined for the Institutional Plan, as functions involving managing the overall Laboratory and supporting the core programmatic and research activities.

Relevant non-programmatic functions include the following:

- Environment, Safety and Health (mandatory)
- Human Capital (mandatory)

- Site and Facility Management (mandatory)
- Security, Intelligence and Nonproliferation (mandatory)
- Information Resources (mandatory)
- Contract Administration
- Performance-Based Management
- Budget, Finance and Resource Management
- Quality and Customer Focus Programs
- Communications and Trust

Discussion of the first five functions is mandatory. As in Section III, the Department's Strategic Plan should guide the Laboratory's Operations Strategic Plan.

The following instructions address particular areas of operations and infrastructure.

A. Environment, Safety, and Health (ES&H)

The Laboratory should focus on the important ES&H issues and how these issues interface with and affect the site's research mission. This section gives the Laboratory an opportunity to define its overall ES&H goals and objectives as well as current conditions and the status of implementing Integrated Safety Management. This section also briefly summarizes the Laboratory's overall long-range plans to ensure compliance with ES&H requirements, as well as stewardship of the environment in ways that are not strictly related to compliance. Potentially relevant topics include (1) land use or site planning initiatives and (2) cooperative programs and studies with state and local organizations and institutions. The Laboratory should explain how its operations will be conducted in a manner that is compatible with the environment and will not affect public health or safety.

Address activities at the Laboratory funded by the Office of Environmental Management (EM). (Research activities that do not have significant operational implications for the Laboratory should be described in Chapter III.) The Laboratory should address major technical categories that are high priorities for EM. They include: the management of high-level waste; D&D; and environmental remediation and long-term stewardship. In addition to describing successes, the Laboratory should describe potential issues, actions or funding problems that could adversely affect its mission.

B. Communications and Trust

The Laboratory should focus on plans for fostering strong partnerships with communities, regulators and other stakeholders and gaining public trust and recognition of the Laboratory and DOE's contribution to science and technology. The Laboratory should explain its approach to gaining a working understanding of the environmental ethics, environmental issues, and local history of the surrounding communities that are important to the functioning of the Laboratory in the community. The Laboratory should explain how it uses this knowledge of local ethics and issues to improve its stewardship of the local environment as it goes about conducting scientific research on behalf of the Nation.

C. Human Capital

Address the present actions and plans that the Laboratory views as critical to preserving the vitality, quality and diversity of the scientific and technical staff, the management, and the support staff. Also, discuss the Laboratory's present accomplishments and planned efforts to create a diversified workforce.

D. Site, Facilities and Infrastructure Management

1. Description of Laboratory Site and Facilities

Provide a brief general characterization of the site and the facilities of the Laboratory including the extent, value, condition, and utilization of the buildings, trailers (real property and personal) and other structures and facilities (OSF).

The Replacement Plant Value (RPV) of buildings, trailers and other structures and facilities should be provided.

For buildings, include charts, tables or narrative that describes:

- the number of SC owned buildings with breakout by active, operational excess and non-operational excess showing square footage as well
- by facility use code show:
 - age profile (% of space 50 years and older, % of space 40 to 49 years, % of space 30 to 39 years old)
 - total deferred maintenance

- deferred maintenance condition index (i.e., deferred maintenance divided by RPV, expressed as a percentage)
- rehab and improvement costs (excluding deferred maintenance) based on Lab's 2002 Strategic Facilities Plan
- total summary condition index (i.e., sum of deferred maintenance and rehab and improvement divided by RPV, expressed as a percentage)
- utilization (as defined in the draft RPAM Order)

100	Admin/Office
200	Medical, Cafeteria, Visitor, Computer
300	Housing
400	Storage
500	Assembly
600	Shops, Laundry, Calibration & Other Support
700	Labs, Reactors and Accelerators
800	Other

Identify the number of staff housed in trailers (separate real property trailers from personal property trailers) and wooden or similar temporary buildings.

Identify and characterize non-SC owned buildings by the responsible PSO.

Describe current and planned alternatively financed buildings, corporate provided space and leased space. Include square footage.

Note: Data provided must be consistent with the data from the Facilities Information Management System (FIMS) database.

2. Issues and Strategy re General Purpose/Conventional Facilities

Identify issues re general purpose/conventional (GP/C) facilities that are, or may, affect mission accomplishment over the planning period of the Institutional Plan including: suitability/functionality, cost effectiveness, worker and public health and safety and environmental compliance. *(Discussion of issues related to programmatic facilities should not be included in this section but should be embedded in the sections of the IP that discuss programmatic activities and plans.)*

Discuss the strategy for addressing the issues identified including management steps such as corporate management of GP/C facilities, consolidation to reduce footprint, corporate and third party investment as well as lab and SC funding. Discuss the lab's maintenance investment plans for the period FY 03 through FY 09. Show the

maintenance investment index (MII) for the same period for all GP/C buildings and for GP/C OSF. Please exclude non-operational excess buildings. MII is maintenance funding divided by RPV, expressed as a percentage. Maintenance is that funded from overhead or space charges and includes routine maintenance, repair and major maintenance (i.e., that maintenance that is managed like a project). Maintenance does not include GPP or Institutional GPP (IGPP). Data should be consistent with information provided in the FY 05 Integrated Facilities and Infrastructure (IFI) Crosscut Budget submitted to SC and the DOE Controller on May 2, 2003.

Discuss the labs plans for funding IGPP.

Discuss SC direct funded capital investment needs (i.e., line items and GPP). Data should be consistent with information to be submitted to SC and the DOE Controller in the FY 05 IFI Crosscut Budget on May 2, 2003 and, the Lab's 2002 Strategic Facility Plan.

Discuss the impacts on total summary condition (see discussion above) of the planned maintenance, IGPP and capital investments described herein.

Discuss funding needed for the clean out and removal of excess facilities, both contaminated and non-contaminated.

Discuss plans for addressing facilities and infrastructure needs via alternatively financed projects.

3. Assets Management

Discuss the Laboratory's activities in developing an assets management program specifically as it applies to identification and divestiture of materials and equipment no longer needed at the Laboratory based upon DOE's mission and functions.

4. Energy Management and Sustainable Design

Discuss energy management initiatives and results especially experience with utility service contracts. Identify plans/goals for determining Energy Star status of laboratory buildings and the number of buildings that have achieved Energy Star status.

Briefly describe the labs approach to ensuring sustainable design principles (including pollution prevention) are implementing in all construction, operations and maintenance activities.

This part of the plan contains the following tables and charts:

- **Laboratory Space Distribution**
- **Replacement Plant Value**
- **Condition of Laboratory Space; Age of Laboratory Buildings**
- **Use and Condition of Laboratory Space**
- **Major Construction Projects**

E. Security, Intelligence and Nonproliferation

The Laboratory should focus on the important security and intelligence issues and how these issues impact the site's research mission. This section should briefly summarize the laboratory's overall long-range plans to ensure critical infrastructure protection and adequate cyber security all in the broader context of integrated safeguards and security management. Address measures to identify and protect classified information, especially for cases of international collaboration. Summarize the status of and preparation for impacts related to declarations and visit protocols for nuclear nonproliferation treaties and chemical and biological weapons conventions. Discuss foreign visits and assignments, measures to protect export control information, cooperative research and development agreements and work for others.⁷

F. Information Management

The Laboratory should focus on its goals, objectives and plans for Information Management and their relationship to the scientific, technical, and administrative goals and objectives for the site. This may include references to items such as communications and networking, computing resources, the management of programmatic data and scientific and technical information, and records management.

VI. Summary of Major Issues

This section is required only for Science laboratories and Environmental Management laboratories. It is required for the Draft Plan and optional in the Final Plan. The purpose is to identify major managerial, operational or programmatic issues that the Laboratory wishes to have considered by DOE senior management at the on-site review. If an issue is described elsewhere in the document (e.g., in the Scientific and Technical Vision and Strategic Plan or the Operations and Infrastructure Strategic Plan) this

section may very briefly summarize the issue and refer to the complete description.

VII. Resource Projections

This part of the plan contains the following tables and charts:

- **Laboratory Funding Summary**
- **Laboratory Personnel Summary**
- **Funding by Secretarial Officer**
- **Personnel by Secretarial Officer**

⁷ Laboratory discretion is warranted in determining the specific content and applicability of the above topics, e.g., the Office of Science does not have critical infrastructure but NNSA does.

CONCISE SUMMARY OF REQUIREMENTS

Note: The required formats for the Charts & Tables listed below are defined in the Format Appendix

Draft Plan Only

The cover of the Draft Plan should be marked: "Draft Material - This document does not contain final Agency decisions or opinions and is not releasable under the Freedom of Information Act."

VI. Major Issues

- Required for Science and Environmental Management laboratories only:
- List major managerial, operational or programmatic issues that the Laboratory wishes to have considered by DOE senior management at the on-site review

Draft and Final Plan Requirements

I. The Laboratory Director's Statement

- No content or format requirements

II. Laboratory Mission and Roles

- The roles in mission areas described in "Table 1. Applied Mission Roles of DOE's Multiprogram Laboratories," of Strategic Laboratory Missions Plan - Phase I may be included.

III. Laboratory Scientific and Technical Vision and Strategic Plan

- Laboratories science vision and strategic plan should reflect any guidelines being developed by HQ/DOE for the Department's Strategic Plan and strategic plans of the DOE secretarial offices for which the Laboratory does work.
- Office of Science laboratories should include in this section their compelling vision as required in the Under Secretary's Memorandum of April 30, 2003, "Principles of Office of Science Laboratory Contracts."
- Laboratories should describe how it intends to develop deliverables in programmatic research.
- Laboratories should be consistent with the performance measures and goals described in the Annual Performance Plan for FY 2004.

- Identify "critical objectives" that are considered to be decisive and indispensable to the laboratory's near term health or future.

IV. Summary of Major Initiatives

- Identify initiatives of major importance to the Laboratory.
- Resources required to implement the initiative should be shown for FY 2002 - FY 2008, as a minimum.
- Clarification of exclusion/inclusion in Resource Projections

V. Operations and Infrastructure Strategic Plan

- Follows the Strategic Planning model being developed
- Identify critical objectives for the operations and infrastructure functions
- Focus:
 - environment, safety and health
 - human capital
 - site and facility management
 - security, intelligence and nonproliferation
 - information resources
 - contract administration
 - performance-based management
 - quality and customer focus programs
 - communications and trust
- Sources of more information should be referenced.
- Charts and Tables:
 - Laboratory Space Distribution**
 - Replacement Plant Value**
 - Condition of Laboratory Space; Age of Laboratory Buildings**
 - Use and Condition of Laboratory Space**
 - Major Construction Projects**

VII. Resource Projections

- Charts & Tables show funding and FTE levels for years FY 2002 to FY 2008:
 - Laboratory Funding Summary**
 - Laboratory Personnel Summary**
 - Funding by Secretarial Officer**
 - Personnel by Secretarial Officer**

REQUIREMENTS FOR THE INSTITUTIONAL PLANNING ON-SITE REVIEW

OVERVIEW

The Institutional Planning On-Site Review is an important part of Laboratory stewardship provided by the Institutional Planning Process. The Review provides a forum for discussion of Laboratory issues and program and operational initiatives. It also provides the Cognizant Secretarial Officer with information on the activities of Laboratory management and their effectiveness in carrying out the policies and guidance of the Department in the Laboratory operations. On-Site Reviews consist of the DOE Caucus, the Laboratory Review, and the Executive Session. Characteristics of the MULTI PROGRAM Laboratory On-Site Review include:

- The meetings are chaired by the Cognizant Secretarial Officer
- The Laboratory Review should be approximately one day
- Program Secretarial Officers with significant current, or anticipated, work at a Laboratory should participate in the review or send senior technical personnel to represent their program.
- The review may be completed before or after the Department's internal review of the budget.

For Office of Science laboratories additional opportunities to interact with laboratory staff may be requested, e.g., all hands meetings, visits to researchers to discuss specific research projects, and round table discussions with science education and/or diversity groups from the labs.

The DOE Caucus

The DOE Caucus begins the On-Site Review and usually lasts for 30 minutes to an hour. The Caucus provides the Cognizant Secretarial Officer and the DOE attendees with the Operations Office/Site Office perspective of the Laboratory's programmatic and operational activities and informs Caucus participants of any important or controversial issues that may come up at the Laboratory Review. The Operations Office/Site Office also provides an overview and assessment of the management activities at the Laboratory. The Operations Office/Site Office in coordination with Headquarters develops the Caucus agenda. A typical Caucus agenda should include the following topics:

Laboratory Issues and Initiatives - Operations Office/Site Office Position

Operations Management

- ES&H/Integrated Safety Management Assessment/Environmental Management Issues and Status
- Infrastructure and Facility Condition/Needs
- Security Issues
- Institutional Issues/Business Practices/Overhead

Implementation of Contract Performance Measures and Their Status

- Laboratory Response to its Annual Appraisal
- Performance-based management

Communication and Community Relations

- Local, Regional, National
- Science Education

Laboratory Work for Others - Status or Problems

Human Capital/EEO Program Status

Problem Areas - Lapses in Laboratory Performance

The Laboratory Review

A typical agenda for the Laboratory Review includes the topics listed below.

Introductory Comments by the Cognizant Secretarial Officer

Report of the Contractor Representative

Laboratory Director's Overview

The Strategic Plan of the Laboratory

Laboratory Issues (Laboratory presentation followed by DOE/Laboratory discussion)

Major Initiatives (Laboratory presentation followed by DOE/Laboratory discussion)

Partnerships and Laboratory Collaborations

Institutional Management

As Appropriate:

- Facilities and general infrastructure needs
- ES&H/Integrated Safety Management
- Management and Business Practices
- Human Capital Management/Equal Employment Opportunity
- Science Education Support
- Work for Others
- Laboratory-Directed R&D

Closing Statements

The Executive Session (Optional)

The Executive Session consists of the Cognizant Secretarial Officer, the Operations Office Manager/Site Office Manager, the operating contractor representative, the Laboratory Director, and the Director, Office of Laboratory Policy (SC-7). In addition to providing a brief summary of Departmental Guidance and the Laboratory position discussed during the Laboratory Review, it provides an opportunity to discuss sensitive issues such as human capital and Laboratory performance.

The Report on the On-Site Review

The Cognizant Secretarial Officer reports the results of each Institutional Planning On-Site Review. The Operations Office/Site Office prepares a summary of the review with action items, Headquarters guidance, and significant questions that were raised during the review. An abbreviated report appears in the Secretary's Weekly Highlights after the On-Site Review. The final report consists of a guidance letter from the Cognizant Secretarial Officer through the Operations Office Manager/Site Office Manager to the Laboratory Director summarizing DOE guidance on issues and initiatives raised at the On-Site Review. This letter also grants preliminary approval of the Draft Plan as the Final Plan. Approval indicates that the Plan presents Laboratory activities agreed upon by the Department; that the Laboratory missions are appropriate; and that program emphasis, external interactions, and level and nature for the upcoming budget year (FY 2004) is suitable. Plan approval also establishes the level and nature of Work for Others.

On-Site Reviews at Office of Science Laboratories for Calendar Year 2003

During Calendar Year 2003 the Director of Science has requested for the focus of the On-Site Reviews at Office of Science laboratories to be narrowed to focus on the long range science and technology plan of the laboratory and on environment, safety and health performance. Thus for CY 2003 only the full scope of programmatic and institutional topic will not be covered. In 2004 the scope of the On-Site Reviews will return to the full range of programmatic, operational and institutional topics.

APPENDIX

THE ORGANIZATIONAL ROLES IN INSTITUTIONAL PLANNING

The Secretary's Role

The Secretary's roles in Institutional Planning are establishing major policies for Laboratory planning, review of planning results to ensure their appropriateness to DOE objectives, and assessing the stewardship responsibility of the Cognizant Secretarial Officers for their respective laboratories. The Secretary may establish planning policies for the laboratories by issuing an annual policy guidance letter to the Field, or through the DOE Strategic Plan.

Departmental Role of the Director, Office of Science

The Director, Office of Science develops and maintains the Institutional Planning Process for the Department.

The Institutional Planning Working Group

The Institutional Planning Working Group provides a self-assessment of the prior year's Institutional Planning Process and updates the planning requirements. The Group is chaired by the Director, Office of Laboratory Policy, Office of Science.

An annual meeting in the February/March time frame is held consisting of senior planning officers from each laboratory, the Operations Offices/Site Offices, and participating Headquarters organizations.

The Cognizant Secretarial Officer's Role

The Cognizant Secretarial Officer (CSO) is responsible for stewardship of the assigned laboratories, and for the conduct of the Institutional Planning Process, the mechanism through which general policy and management stewardship is carried out. The CSO initiates the laboratory Institutional Planning cycle by receiving the annual Institutional Plans from the assigned laboratories. Guidance is provided concerning planning requirements, assumptions, or program decisions. A date for the On-Site Review is then scheduled.

The CSO coordinates review of the Draft Plan by: reviewing the proposed mission statement, strategic plan, and initiatives; obtaining program Secretarial Officers' critiques of issues, plans, and initiatives related to their areas; and providing comments and guidance from these reviews to Laboratory management.

The CSO functions regarding On-Site Reviews are (1) to arrange the meeting dates and establish the agendas and (2) to conduct the review by discussing issues, initiatives, the strategic plan, and other items of managerial interest. The CSO assigns responsibility for action items and provides guidance to the Laboratory Director on issues and initiatives raised in the Draft Plan and at the On-Site Review. Significant results of the reviews are reported to the Secretary.

The CSO functions relating to the Institutional Plan consist of approving the Plan based on input from Headquarters organizations and the Operations Office/Site Office. Approval of the Plan is an endorsement of the laboratory's mission, vision and strategic plan and validates alignment with Departmental missions, plans, programmatic level of activities and level of Work for Others. During the operating year the CSO (1) ensures that action items raised at the On-Site Review are completed (2) approves deviations from the Laboratory's approved baseline that are beyond the authority delegated to the Operations Office/Site Office and (3) resolves Laboratory issues that do not require action by higher management.

The Operations Office/Site Office Manager's Role

The Operations Office/Site Office manager is the Government Contracting Officer responsible for the Laboratory. The Operations Office/Site Office manager reviews the Draft Plan and provides comments to the Cognizant Secretarial Officer. The Operations Office/Site Office review should cover the following:

- Work for DOE that the Laboratory is proposing
- Identifying work that may be inappropriate
- Evaluation of the Laboratory's major issues and initiatives as to their appropriateness
- Recommendations on priorities and their disposition

- Projected level of WFO
- Work requiring special management consideration

For the On-Site Reviews the Operations Office/Site Office supplies the following information:

- Agenda items
- The Operations Office/Site Office position on issues at the DOE Caucus
- A report on Integrated Safety Management and any Environmental Management issues
- A report on infrastructure and/or facility needs
- The status of contractor performance measures
- Information on Laboratory and community relations activities
- Status of Work for Others and Laboratory Directed R&D
- An evaluation and status of Laboratory actions on recommendations in the most recent Laboratory performance appraisal
- A summary containing the results of the On-Site Review for use in the report to the Secretary.

The Operations Office/Site Office Manager ensures that all substantive comments on the Draft Plan and recommendations from the On-Site Review are addressed in the Final Plan (see sample memo in Table 24, on page 27).

Throughout the year the Operations Office/Site Office will monitor work assignments and notify Headquarters of significant departures from plan baselines or problems that require resolution. During the year the Operations Office/Site Office also manages WFO, monitors Laboratory acceptance of WFO, and reports any problems to Headquarters.

The Program Secretarial Officers' Role

Program Secretarial Officers (PSO) provide essential inputs to the Institutional Planning Process. Program comments on Draft Plans and participation at On-Site Reviews provide important contributions to Laboratory long-range planning. The PSOs review mission statements and issues and provide comments to the CSO. They review the initiatives and provide comments on their acceptability, priority, or timing and evaluate program discussions and resource projections providing comment on their consistency with long-range program plans. As the PSOs prepare their Strategic and Multi-Year Program Plans (MYPPs) copies should be sent to the laboratories for incorporation into their Strategic and Institutional Plans.

PSOs participate in On-Site Reviews of laboratories with significant work in their areas of interest, or with major issues or initiatives related to their programs. Final Plans are reviewed to identify issues and research initiatives, from the Institutional Planning Process that can be incorporated into the development of Strategic Plans and MYPPs as appropriate. Throughout the operating year the PSO provides the Laboratory with program planning information to be incorporated into the Laboratory's Institutional Plan and the Strategic Plan.

The Operating Contractor's Role

The operating contractor, who establishes and monitors Laboratory management, is responsible for the overall successful operation and development of the Laboratory. The contractor participates in the On-Site Review by presenting the contractor's policies for Laboratory management and the means by which management performance is monitored, e.g., external reviews and performance-based management. The operating contractor discusses the status of contract performance measures and Laboratory management's response to recommendations from the last Laboratory appraisal; and participates in the resolution of major issues. The contractor's participation at the On-Site Review provides an opportunity for the Department and the Laboratory to establish an understanding of the Laboratory's future in relation to the DOE Strategic Planning Process and other Departmental initiatives that can affect Laboratory operations and management.

The Laboratory Director's Role

The Laboratory Director is responsible for the day-to-day operation of the facility, implementation of programs and the long-range maintenance and development of the Laboratory. Laboratory planning consists of: developing and maintaining a strategic planning process for the Laboratory and using the results of strategic planning as a basis for

ancillary plans and operating plans. In preparing the Draft Institutional Plan the Laboratory Director: incorporates Departmental guidance into the development of the mission statement for the Laboratory; obtains and assesses the results from the DOE Strategic Planning Process to develop the Laboratory Strategic Plan; uses all available program guidance in developing the Draft Plan; and prepares Plans for submittal to Headquarters consistent with instructions.

The Laboratory is the usual location for the On-Site Review. In preparing for the meeting, the Laboratory Director: coordinates the agenda with the CSO; notifies the contractor and ensures contractor participation; oversees the management content of the presentations; addresses the status of actions from the latest appraisal in the Executive Session of the review.

The Director incorporates guidance from the On-Site Review into the final Plan and ensures preparation and production of the Final Plan is on schedule. The Laboratory Director provides the final Institutional Plan to Headquarters and the Operations Office/Site Office.

The Cognizant Secretarial Officers

The current assignment of MULTI PROGRAM laboratories to Secretarial-level Officers is shown below:

Director, Office of Science

Argonne National Laboratory
Brookhaven National Laboratory
Lawrence Berkeley National Laboratory
Oak Ridge National Laboratory
Pacific Northwest National Laboratory

National Nuclear Security Administration

Lawrence Livermore National Laboratory
Los Alamos National Laboratory
Sandia National Laboratories

Director, Office of Nuclear Energy, Science and Technology

Idaho National Engineering and Environmental Laboratory

TABLE & CHART FORMATS

The format definitions in this appendix are the required formats for all data tables and charts that must be included in the Institutional Plan.

Table 2

LABORATORY FUNDING SUMMARY							
(\$ in Millions-BA)	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY2007</u>	<u>FY2008</u>
DOE Effort <u>1/</u>							
Work for Others							
DHS Effort							
TOTAL OPERATING							
Program Capital Equipment							
Program Construction <u>2/</u>							
General Purpose Facilities <u>2/</u>							
General Plant Projects							
General Purpose Equipment							
Total Laboratory Funding							
Proposed Construction <u>3/</u>							
<u>TOTAL PROJECTED FUNDING</u>							
<u>1/</u> "DOE Effort" includes net of transfers to other DOE contractors. <u>2/</u> "Program Construction" and "General Purpose Facilities" should not include any Proposed Construction. <u>3/</u> "Proposed Construction" is an optional estimate of future construction funding.							

Table 3

LABORATORY PERSONNEL SUMMARY							
<u>(Personnel in FTE)</u>	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY2007</u>	<u>FY2008</u>
<u>DIRECT</u> ^{1/}							
DOE Effort							
Work for Other than DOE							
DHS Effort							
Total Operating							
Other Direct							
TOTAL DIRECT							
TOTAL INDIRECT							
Department of Homeland Security Effort							
TOTAL PERSONNEL							
^{1/} Categorization of direct personnel is optional and need not be provided. If no breakdown of direct is shown, do not include "Total Direct." Indirect personnel may also be categorized, at the option of the Laboratory.							

Table 4

FUNDING BY SECRETARIAL OFFICER							
(\$ in Millions - BA)	FY2002	FY 2003	FY2004	FY2005	FY2006	FY 2007	FY2008
<u>Secretarial Officer Title (#1) 1/</u>							
Operating							
Capital Equipment							
Construction 2/							
<u>TOTAL SECRETARIAL OFFICER (#1)</u>							
<i>All funding should have appropriate burdens applied. Provide "Operating," "Capital Equipment," and "Construction" categories as necessary throughout the table.</i>							
<i>Secretarial Officer Title (#2), etc.</i>							
<u>Miscellaneous DOE Programs</u>							
<u>Other DOE Facilities</u>							
Net reimbursable DOE Work							
<u>TOTAL DOE PROGRAMS</u>							
<u>WORK FOR OTHERS</u> <i>Only laboratories for which SC is the CSO must show the breakdown of Work For Others</i>							
NSF							
NRC							
DOD							
HHS/NIH							
NASA							
EPA							
Other Federal Agencies							
Private Industry							
All Other Non-Federal							
<i>(SC Laboratories Only) Provide breakout of NSF, NRC, DOD, HHS/NIH, EPA and NASA regardless of level of effort. "Other Federal Agencies" are those with less than \$1 million per year in funding. Do not include CRADA or DHS funding in Work For Others.</i>							
<u>DEPARTMENT OF HOMELAND SECURITY EFFORT</u>							
<u>TOTAL PROGRAM FUNDING</u>							
General Purpose Equipment (GPE)							
General Plant Projects (GPP) 2/							
General Purpose Facilities (GPF)							
Proposed Construction 3/							
<i>"Proposed Construction" should equal line in Funding Summary and "Total Projected Funding" should equal total in Funding Summary.</i>							
<u>TOTAL PROJECTED FUNDING</u>							
1/ "DOE Effort" includes net of transfers to other DOE contractors.							
2/ "Program Construction" and "General Purpose Facilities" should not include any Proposed Construction.							
3/ "Proposed Construction" is an optional estimate of future construction funding.							

Table 5

PERSONNEL BY SECRETARIAL OFFICER							
Full-Time Equivalent (FTE)	<u>FY2002</u>	<u>FY 2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY 2007</u>	<u>FY2008</u>
<u>Secretarial Officer Title (#1)</u>							
Operating							
Capital Equipment							
Construction							
<u>TOTAL SECRETARIAL OFFICER (#1)</u>							
<i>Provide direct labor in FTE under "Secretarial Office #1," etc. Direct labor may be categorized as Operating, Equipment, or Construction if necessary under Laboratory classification system. Breakdown is not required.</i>							
<u>Secretarial Officer Title (#2), etc.</u>							
<u>Miscellaneous DOE Programs</u>							
<u>Other DOE Facilities</u>							
Net reimbursable DOE Work							
<u>TOTAL DOE PROGRAMS</u>							
<u>WORK FOR OTHERS</u> <i>Only laboratories for which ER is the CSO must show the breakdown of Work For Others</i>							
NSF							
NRC							
DOD							
HHS/NIH							
NASA							
EPA							
Other Federal Agencies							
Private Industry							
All Other Non-Federal							
<i>(SC laboratories only) Provide breakout of NSF, NRC, DOD, HHS/NIH, EPA and NASA regardless of level of effort. Other Federal agencies are those with less than \$1 million per year in funding. Do not include CRADA or DHS funding in Work For Others.</i>							
<u>DEPARTMENT OF HOMELAND SECURITY EFFORT</u>							
<u>TOTAL PROGRAM EFFORT</u>							
General Purpose Equipment (GPE)							
General Plant Projects (GPP)							
General Purpose Facilities (GPF)							
Proposed Construction							
<u>TOTAL DIRECT PERSONNEL</u>							
<u>TOTAL INDIRECT PERSONNEL</u>							
<u>TOTAL LABORATORY PERSONNEL</u>							

Table 6

LABORATORY SPACE DISTRIBUTION	
<u>Location</u>	<u>Area (Sq.Ft.)</u>
Main Site	
Leased-University	
Leased-Off Site	
TOTAL	

Table 7

FACILITIES REPLACEMENT VALUE	
<u>Facility Type</u>	<u>Replacement in Current \$</u>
Buildings	
Utilities	
All Other	
TOTAL	

Table 8

MAJOR CONSTRUCTION PROJECTS							
<u>(\$ in Millions - BA)</u>	<u>TEC</u>	<u>FY2002</u>	<u>FY 2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY 2007</u> <u>FY2008</u>
<u>Funded Construction 1/</u>							
Program Line Item Projects							
GPF Line Item Projects							
TOTAL FUNDED CONSTRUCTION							
<u>Budgeted Construction 2/</u>							
Program Line Item Projects							
GPF Line Item Projects							
TOTAL BUDGETED CONSTRUCTION							
<u>TOTAL FUNDED & BUDGETED</u>							
<u>Proposed Construction</u>							
Program Line Item Projects							
GPF Line Item Projects							
1/ Include projects funded at least for Title I. Minor projects may be grouped.							
2/ Include projects in DOE budget request, at least for Title I.							

Table 9

United States Government	Department of Energy
<h1 style="margin: 0;">Memorandum</h1>	
<p>DATE:</p>	
<p>REPLY TO</p>	
<p>ATTN OF: Manager, DOE Operations Office/Site Office</p>	
<p>SUBJECT: Review of Laboratory Institutional Plan</p>	
<p>TO: Cognizant Secretarial Officer</p>	
<p>We have completed our review of the Laboratory Institutional Plan FY 2004-2008 based on comments received from DOE/HQ and this Operations Office/Site Office. It is our determination that the Plan reflects the integration of these comments, proposes an appropriate Work for Others funding level and mix, and is in conformance with DOE guidelines. It is our judgment, therefore, that this Plan meets the requirements of your earlier conditional approval and should be considered final.</p>	
<p>Operations Office Manager/Site Office Manager</p>	

Figure 1

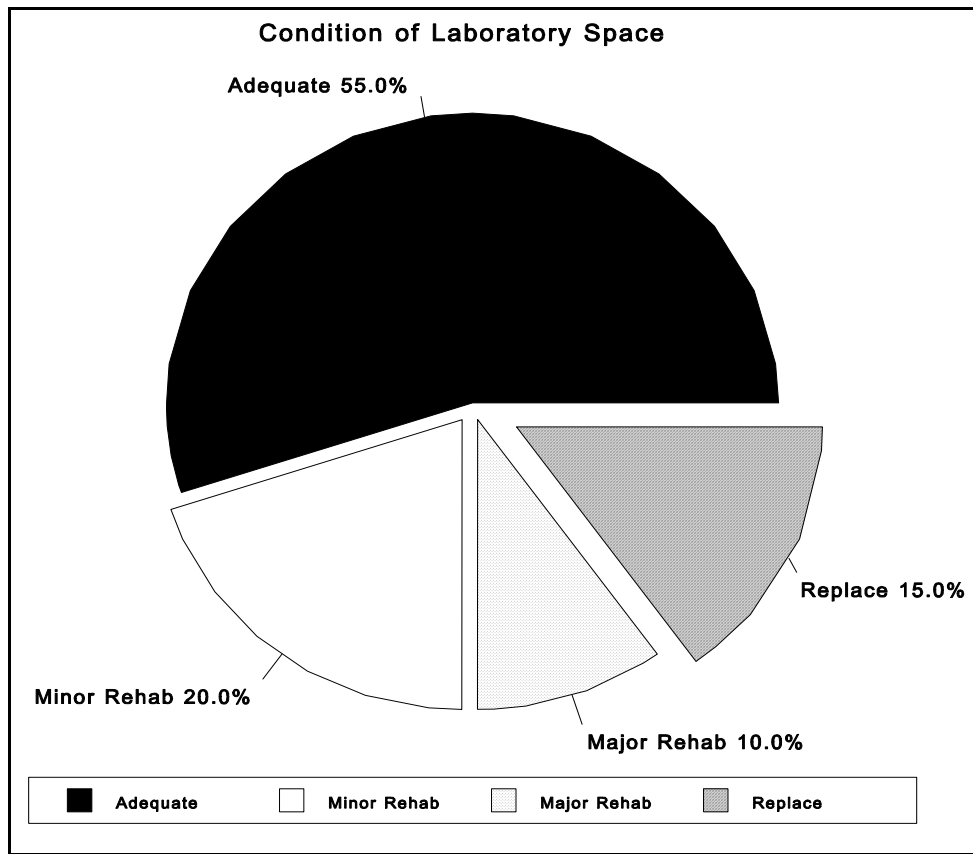


Figure 3

